

FORM D

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM D

NOTICE OF SALE OF SECURITIES PURSUANT TO  
REGULATION D,  
SECTION 4(6), AND/OR  
UNIFORM LIMITED OFFERING EXEMPTION



02056871

1200040

OMB APPROVAL

B NUMBER: 3235-0076  
Expires: November 30, 2001  
Estimated average burden  
hours per response..... 16.00

SEC USE ONLY

Prefix Serial

DATE RECEIVED

Name of Offering (□ check if this is an amendment and name has changed, and indicate change.)

## Membership Interests

Filing Under (Check box(es) that apply): ☐ Rule 504 ☐ Rule 505 ☒ Rule 506 ☐ Section 4(6) ☐ ULOE  
Type of Filing: ☒ New Filing ☐ Amendment

## A. BASIC IDENTIFICATION DATA

1. Enter the information requested about the issuer

Name of Issuer (□ check if this is an amendment and name has changed, and indicate change.)

Ridgewood Venture II-B LLC

Address of Executive Offices (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Telephone Number (Including Area Code)

201-447-9000

Address of Principal Business Operations (if different from Executive Offices) (Number and Street, City, State, Zip Code)

Telephone Number (Including Area Code)

Brief Description of Business: to make venture capital investments

## Type of Business Organization

☐ corporation ☐ limited partnership, already formed ☒ other (please specify): limited liability company  
☐ business trust ☐ limited partnership, to be formed

Month Year

Actual or Estimated Date of Incorporation or Organization 09 02 ☒ Actual ☐ Estimated

Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State:

CN for Canada; FN for other foreign jurisdiction) DE

## GENERAL INSTRUCTIONS

Federal:

*Who Must File:* All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 USC 77d(6).*When To File:* A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.*When to File:* U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.*Copies Required:* Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.*Information Required:* A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.*Filing Fee:* There is no federal filing fee.*State:* This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires a payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

## ATTENTION

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.

## A. BASIC IDENTIFICATION DATA

2. Enter the information requested for the following:

- Each promoter of the issuer, if the issuer has been organized within the past five years;
- Each beneficial owner having the power to vote or dispose, or direct the vote or disposition of, 10% or more of a class of equity securities of the issuer;
- Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and
- Each general and managing partner of partnership issuers.

Check Box(es) that Apply: ☒ Promoter ☒ Beneficial Owner ☐ Executive Officer ☐ Director ☒ Managing Member

Full Name (Last name first, if individual)

**Ridgewood Capital Management LLC**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☒ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Swanson, Robert E.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Gold, Robert L.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Olin, Mary Louise**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Majek, Warren**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Golden, Leslie**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Sperling, Jorge**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

**Sherwin, Elton**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

**B. INFORMATION ABOUT OFFERING**

|   | Yes                                 | No                                  |
|---|-------------------------------------|-------------------------------------|
| 1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering? .....  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| Answer also in Appendix, Column 2, if filing under ULOE.  |                                     |                                     |
| 2. What is the minimum investment that will be accepted from any individual? .....  | \$                                  | <b>75,000</b>                       |
|   | Yes                                 | No                                  |
| 3. Does the offering permit joint ownership of a single unit? .....   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| 4. Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any commission or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a person to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or states, list the name of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broker or dealer, you may set forth the information for that broker or dealer only. |                                     |                                     |

Full Name (Last name first, if individual)

**Melanson, Ronald**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1237 Rainbow Dr., Big Fork, MT 59911**

Name of Associated Broker or Dealer

**Alliance Affiliated Equities Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Dyer, David**

Business or Residence Address (Number and Street, City, State, Zip Code)

**P.O. Box 4025, Kokomo, IN 46904**

Name of Associated Broker or Dealer

**Alliance Affiliated Equities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**McCance, William H.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**264 North Main St., Natick, MA 01760**

Name of Associated Broker or Dealer

**Advisory Group Equity Services**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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## B. INFORMATION ABOUT OFFERING

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**One University Office Park, 29 Sawyer Road, Waltham, MA 02154**

Name of Associated Broker or Dealer

**Commonwealth Financial Network**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☒ All States

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Full Name (Last name first, if individual)

**Swanson, Robert**

Business or Residence Address (Number and Street, City, State, Zip Code)

**947 Linwood Avenue, Ridgewood, NJ 07450**

Name of Associated Broker or Dealer

**Ridgewood Securities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Olsson, Stephen C.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**264 North Main St., Natick, MA 01760**

Name of Associated Broker or Dealer

**Advisory Group Equity Services**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Orr, Brian**

Business or Residence Address (Number and Street, City, State, Zip Code)

**Two Gateway Center, Pittsburgh, PA 15222**

Name of Associated Broker or Dealer

**Arthurs, Lestrangle & Company Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Van Mourick, Mark**

Business or Residence Address (Number and Street, City, State, Zip Code)

**30131 Town Center Drive, Laguna Niguel, CA 92677**

Name of Associated Broker or Dealer

**Gramercy Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Mediate III, Anthony**

Business or Residence Address (Number and Street, City, State, Zip Code)

**900 South Ave., Staten Island, NY 10314**

Name of Associated Broker or Dealer

**Cantone Research Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Scribner, Rod**

Business or Residence Address (Number and Street, City, State, Zip Code)

**P.O. Box 1059, Charleston, RI 02813**

Name of Associated Broker or Dealer

**Gramercy Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Donovan, Michael**

Business or Residence Address (Number and Street, City, State, Zip Code)

**P.O. Box 1359, Syracuse, NY 13201**

Name of Associated Broker or Dealer

**M. Robert Burton Associates, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Blitz, Ed**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3330 Old Glenview Road, Wilmette, IL 60091**

Name of Associated Broker or Dealer

**Blitz (Edwin C.) Investments**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Guttman, Barney C.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1022 Frick Building, Pittsburg, PA 15219**

Name of Associated Broker or Dealer

**Walnut Street Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**11140 Rockville Pike, Rockville, MD 20852**

Name of Associated Broker or Dealer

**H. Beck, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☒ All States

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Full Name (Last name first, if individual)

**Wedvick, Allen T.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1050 Northgate Drive Suite 130, San Rafael, CA 94303**

Name of Associated Broker or Dealer

**Archer Alexander Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Mediate, Jason**

Business or Residence Address (Number and Street, City, State, Zip Code)

**900 South Avenue, Staten Island, NY 10314**

Name of Associated Broker or Dealer

**Cantone Research Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Kittlaus, L. Karl**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3180 North Lake Shore Drive, Chicago, IL 60657**

Name of Associated Broker or Dealer

**Pavek Investments Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Finn, George**

Business or Residence Address (Number and Street, City, State, Zip Code)

**172 Derby St., Hingham, MA 02043**

Name of Associated Broker or Dealer

**Coastal Equities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Fuqua, Tom**

Business or Residence Address (Number and Street, City, State, Zip Code)

**151 Surf Way, Monterey, CA 93940**

Name of Associated Broker or Dealer

**EDI Financial, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**4261 Park Road, Ann Arbor, MI 48103**

Name of Associated Broker or Dealer

**Sigma Financial Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☒ All States

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Full Name (Last name first, if individual)

**Borowski, Gregg**

Business or Residence Address (Number and Street, City, State, Zip Code)

**120 Main Street, Park Ridge, IL 60068**

Name of Associated Broker or Dealer

**Pavek Investments Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Shafe, Charles**

Business or Residence Address (Number and Street, City, State, Zip Code)

**531 Versailles Drive, Maitland, FL 32751**

Name of Associated Broker or Dealer

**TransAm Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Kohlmeyer, Phillip**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3478 Buskirk Avenue, Pleasant Hill, CA 94523**

Name of Associated Broker or Dealer

**Walnut Street Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Polakoff, Vic**

Business or Residence Address (Number and Street, City, State, Zip Code)

**766 Shrewsbury Avenue, Tinton Falls, NJ 07724**

Name of Associated Broker or Dealer

**Cantone Research, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Davis, Larry**

Business or Residence Address (Number and Street, City, State, Zip Code)

**11300 Rodney Parham Rd., Little Rock, AR 72212**

Name of Associated Broker or Dealer

**Calton & Associates, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Bjork, David**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3801 Lockport St., Bismarck, ND 58501**

Name of Associated Broker or Dealer

**American Investment Services, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Cannon, Thomas Q.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1965 East 5600 South, Salt Lake City, UT 84121**

Name of Associated Broker or Dealer

**American Investment Services, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Weigel, Jeremy J.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3801 Lockport St., Bismarck, ND 58501**

Name of Associated Broker or Dealer

**American Investment Services, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Steerman, Carl**

Business or Residence Address (Number and Street, City, State, Zip Code)

**838 So. Main St., West Bend, WI 53095**

Name of Associated Broker or Dealer

**First Midwest Securities Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Field, Robert**

Business or Residence Address (Number and Street, City, State, Zip Code)

**800 E. NW Highway, Palentine, IL 60067**

Name of Associated Broker or Dealer

**Lone Grove Trading Co.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Seeherman, Marc**

Business or Residence Address (Number and Street, City, State, Zip Code)

**32 West 40<sup>th</sup> Street, New York, NY 10018**

Name of Associated Broker or Dealer

**Alliance Affiliated Equities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

Full Name (Last name first, if individual)

**Wlosek, Ken**

Business or Residence Address (Number and Street, City, State, Zip Code)

**300 "C" Lake St., Ramsey, NJ 07446**

Name of Associated Broker or Dealer

**Seward Groves Richard & Wells**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Cochran, Robert**

Business or Residence Address (Number and Street, City, State, Zip Code)

**4063 Birch Street, Newport Beach, CA 92660**

Name of Associated Broker or Dealer

**Alliance Affiliated Equities Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Romero, Karl**

Business or Residence Address (Number and Street, City, State, Zip Code)

**P.O. Box 2037, Tustin, CA 92781**

Name of Associated Broker or Dealer

**Linsco Private Ledger Corp.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Ahanchian, Amir**

Business or Residence Address (Number and Street, City, State, Zip Code)

**5325 Katy Freeway, Ste. One, Houston, TX 77007**

Name of Associated Broker or Dealer

**Oxford Financial Group**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Donaldson, Bill**

Business or Residence Address (Number and Street, City, State, Zip Code)

**1370 North Brea Blvd. Fullerton, CA 92635**

Name of Associated Broker or Dealer

**Brookstreet Securities Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Vee, Jon**

Business or Residence Address (Number and Street, City, State, Zip Code)

**150 East 42<sup>nd</sup> St., New York, NY 10017**

Name of Associated Broker or Dealer

**Gruntal & Company**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Childs, Russell K.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**18935 I-45 North, Spring, TX 77388**

Name of Associated Broker or Dealer

**IMS Securities**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Little, Paul G.**

Business or Residence Address (Number and Street, City, State, Zip Code)

**2605 Thomas Dr., Panama City Beach, FL 32408**

Name of Associated Broker or Dealer

**Medallion Investment Services, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**2355 Northside Drive, San Diego, CA 92108**

Name of Associated Broker or Dealer  
**Sentra Securities Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☒ All States

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Full Name (Last name first, if individual)  
**Garvin, Stephen K.**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**6301 Gaston Avenue, Dallas, TX 75214**

Name of Associated Broker or Dealer  
**Southwest Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)  
**Stadelmayer, Harry**

Business or Residence Address (Number and Street, City, State, Zip Code)  
**2180 5R 434 West Sanlando Center, Longwood, FL 32779**

Name of Associated Broker or Dealer  
**TransAm Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)  
**1460 Renaissance Drive, Park Ridge, IL 60068**

Name of Associated Broker or Dealer  
**Triad Advisors, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**D'Agosta, Robert**

Business or Residence Address (Number and Street, City, State, Zip Code)

**3773 Corporate Parkway, Center Valley, PA 18034**

Name of Associated Broker or Dealer

**Mony Securities Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Kaplow, Bart**

Business or Residence Address (Number and Street, City, State, Zip Code)

**437 Chestnut Street, Philadelphia, PA 19106**

Name of Associated Broker or Dealer

**Capital Strategies, Ltd.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

**Kelly, James**

Business or Residence Address (Number and Street, City, State, Zip Code)

**190 South LaSalle St., Chicago, IL 60603**

Name of Associated Broker or Dealer

**Peregrine Financials & Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

**1355 Noel Rd., Dallas, TX 75240**

Name of Associated Broker or Dealer

**Rushmore Securities Corporation**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Walker, Steven**

Business or Residence Address (Number and Street, City, State, Zip Code)

**190 S. LaSalle St., Chicago, IL 60603**

Name of Associated Broker or Dealer

**Peregrine Financials & Securities, Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

**Shaneson, Adam**

Business or Residence Address (Number and Street, City, State, Zip Code)

**475 East Market St., Long Beach, NY 11561**

Name of Associated Broker or Dealer

**Princeton Equity Services Inc.**

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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### C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

b. Enter the difference between the aggregate offering price given in response to Part C – Question 1 and total expenses furnished in response to Part C – Question 4.a. This difference is the "adjusted gross proceeds to the issuer." .....

**\$ 7,947,000**

5. Indicate below the amount of the adjusted gross proceeds to the issuer used or proposed to be used for each of the purposes shown. If the amount for any purpose is not known, furnish an estimate and check the box to the left of the estimate. The total of the payments listed must equal the adjusted gross proceeds to the issuer set forth in response to Part C – Question 4.b above.

|  |                                     | Payments to<br>Officers, Directors,<br>& Affiliates |                                     | Payments To<br>Others |
|--|-------------------------------------|---|-------------------------------------|-----------------------|
| Salaries and fees .....  | <input checked="" type="checkbox"/> | \$ <u>410,000</u>                                   | <input checked="" type="checkbox"/> | \$ <u>75,000</u>      |
| Purchase of real estate .....  | <input type="checkbox"/>            | \$ _____  | <input type="checkbox"/>            | \$ _____              |
| Purchase, rental or leasing and installation of machinery and equipment .....  | <input type="checkbox"/>            | \$ _____  | <input type="checkbox"/>            | \$ _____              |
| Construction or leasing of plant buildings and facilities .....  | <input type="checkbox"/>            | \$ _____  | <input type="checkbox"/>            | \$ _____              |
| Acquisition of other business (including the value of securities involved in this offering that may be used in exchange for the assets or securities of another issuer pursuant to a merger) ..... | <input type="checkbox"/>            | \$ _____  | <input type="checkbox"/>            | \$ _____              |
| Repayment of indebtedness .....  | <input type="checkbox"/>            | \$ _____  | <input type="checkbox"/>            | \$ _____              |
| Working capital .....  | <input type="checkbox"/>            | \$ _____  | <input type="checkbox"/>            | \$ _____              |
| Other (specify): <b>projects, project development and operations</b> .....   | <input type="checkbox"/>            | \$ _____  | <input checked="" type="checkbox"/> | \$ <u>7,462,000</u>   |
| _____  | <input checked="" type="checkbox"/> | \$ _____  | <input type="checkbox"/>            | \$ _____              |
| Column Totals .....  | <input checked="" type="checkbox"/> | \$ <u>410,000</u>                                   | <input checked="" type="checkbox"/> | \$ <u>7,537,000</u>   |
| Total Payments Listed (column totals added) .....  |                                     |   | <input checked="" type="checkbox"/> | \$ <u>7,947,000</u>   |

### D. FEDERAL SIGNATURE

The issuer has duly caused this notice to be signed by the undersigned duly authorized person. If this notice is filed under Rule 505, the following signature constitutes an undertaking by the issuer to furnish to the U.S. Securities and Exchange Commission, upon written request of its staff, the information furnished by the issuer to any non-accredited investor pursuant to paragraph (b)(2) of Rule 502.

|   |   |                                |
|---|---|--------------------------------|
| Issuer (Print or Type)<br><b>Ridgewood Venture II-B LLC</b> | Signature<br><i>Mary Louise Olin</i>  | Date<br><b>August 26, 2002</b> |
| Name of Signer (Print or Type)<br><b>Mary Louise Olin</b>   | Title of Signer (Print or Type)<br><b>Vice President of the Managing Member</b> |                                |

### ATTENTION

**Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)**